South Dakota DHS
DEPARTMENT OF HUMAN SERVICES
Division of Developmental Disabilities

Critical Incident Reporting
January 12, 2016

This presentation is to be used only as a supplement to the Critical Incident Guidelines

Ashley Schlichenmayer-Okroi, Program Specialist II

Critical Incident Reporting:

REGULATORY AUTHORITY

The authority behind the submission of incident reports is as follows:

Administrative Rule of South Dakota 46:11:03:02. Critical incident reports – Submission to division. The CSP shall give verbal notice of any critical incident involving a participant to the division no later than the end of the division's next business day or the CSP's administrative business day whichever occurs first from the time the CSP becomes aware of the incident. The CSP shall submit a written critical incident report utilizing the division's on-line reporting system within seven calendar days after the initial notice is made. A report must be submitted for the following:

(1) Deaths;
(2) Life-threatening illnesses or injuries;
(3) Alleged instances of abuse, neglect, or exploitation against or by any participant;
(4) Changes in health or behavior that may jeopardize continued services;
(5) Serious medication errors;
(6) Illnesses or injuries that resulted from unsafe or unsanitary conditions;
(7) Any illegal activity involving a participant;
(8) Any use of physical, mechanical, or chemical intervention, not part of an approved plan;
(9) Any bruise or injury resulting from the use of a physical, mechanical, or chemical intervention;
(10) Any diagnosed case of a reportable communicable disease involving a participant; or
(11) Any other critical incident as required by the division.

The report must contain a description of the incident, specifying what happened, when it happened, and where it happened. The report shall also include any action taken by the CSP necessary to ensure the participant's safety and the safety of others and any preventative measures taken by the CSP to reduce the likelihood of similar incidents occurring in the future. The division may request further information or follow-up related to the critical incident.

The CSP shall notify the participant's parent if the participant is under 18 years of age, or the participant's guardian, if any, that a critical incident report has been submitted and the reason why unless the parent or guardian is accused of the incident.

2014 CIRs

2014 Total Number of Incidents

- Total Population: 2849
- Total Incident Count: 1457
- Participants with CIRs: 778
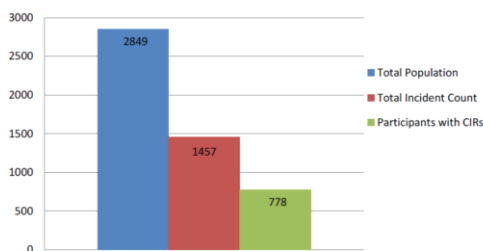
Quarterly CIR Data

❑ Quarterly data on CIRs is broken down by CSP and sent out to each provider throughout the year.

Total Number of HCBS/CTS Individuals Served as of 07/01/2015
Incident count: 04/01/2015 to 6/30/2015

Agency	Other Incidents Per 10 People Served			Suicide Attempt			Unplanned Medical			Unplanned Psychiatric			Illegal Activity			Missing Person Incidents Per 10 People Served		
	Incident Count	People Served	% of Incidents	Incident Count	People Served	% of Incidents	Incident Count	People Served	% of Incidents	Incident Count	People Served	% of Incidents	Incident Count	People Served	% of Incidents	Incident Count	People Served	% of Incidents

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CIR Dates

Status: Submitted   12/23/2015   ☐ Hide Empty Sections

Incident Date   Date Reported to DDD
11/29/2015   12/15/2015   Time of incident or discovery: 9:00 ☑ AM ☐ PM
Was incident observed or discovered?   Discovery Date
Discovered ▾   12/14/2015

❑ Ensure incident dates are accurate and align with internal CSP incident reports/GERs.

❑ Written report due 7 calendar days from the date reported to DDD.

CIR Settings

❑ Residential
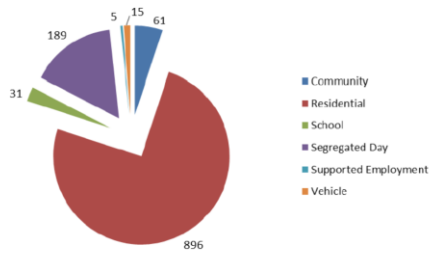❑ Segregated Day
❑ Supported Employment
❑ School
❑ Community
❑ Vehicle

Type of agency support where incident occured
Residential ▾

❑ Home
❑ Community
❑ Family Visit
❑ Vehicle
❑ Hospital
❑ Other

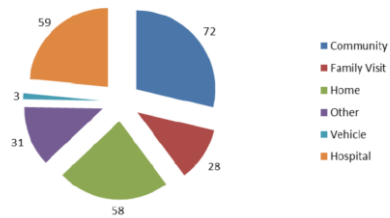If not in agency support, where did incident occur? Other
[blank] ▾

2014 Location when in Provider Support

Pie chart values: 5, 15, 61, 189, 31, 896

Legend:
- Community
- Residential
- School
- Segregated Day
- Supported Employment
- Vehicle

2014 Location when not in Provider Support

Pie chart values: 72, 28, 58, 31, 3, 59

Legend:
- Community
- Family Visit
- Home
- Other
- Vehicle
- Hospital

Missing Persons

MISSING PERSON

Risk Factors
- [ ] None
- [ ] Cannot care for self
- [ ] Risk to others
- [ ] Other
- [ ] Seizures
- [ ] Needs medication
- [ ] Suicidal

Other: _____

What date and time was person last observed: _____ [ ] AM [ ] PM
Date and time police contacted if applicable: _____ [ ] AM [ ] PM
Was person located at time of completing incident report? [ ] Yes [ ] No
Date and time person was located: _____ ____ [ ] AM [ ] PM

❑ Missing person applies when a participant is identified as being a danger to themselves or others.

❑ Risk Factors: Others

Illegal Activity

Illegal Activity

Type of Activity
[blank] ▼

Other
_____

Person Arrested?
☐ Yes ☐ No

- ❑ Completed only when police involvement has taken place
- ❑ Illegal Activity where staff intervened before police involvement occurred does not need to be reported under this category.
- ❑ Illegal Activity in this section only pertains to the person the CIR is about allegedly committing the action, not a perpetrator committing the allegation against them as a victim.

Highly Restrictive Techniques

HIGHLY RESTRICTIVE PROCEDURES

Type of Restrictive Procedure

☐ Physical Restraint   Duration [blank] ▼   Length of Restraint _____

☐ Chemical Restraint

☐ Mechanical Restraint   Duration [blank] ▼   Length of Restraint _____

☐ Time-Out Room   Duration [blank] ▼   Length of Restraint _____

Behavior Intervention Plan in place? ☐ Yes ☐ No

Injury as a direct result of restraint? ☐ Yes ☐ No

Altercations

ALLEGED VICTIM OF ALTERCATION

Type
[blank] ▼   Injury? ☐ Yes ☐ No

Alleged Perpetrator
[blank] ▼

ALLEGED PERPETRATOR OF ALTERCATION

Type of Assault
[blank] ▼

Injury to Victim
[blank] ▼

Alleged Victim
[blank] ▼

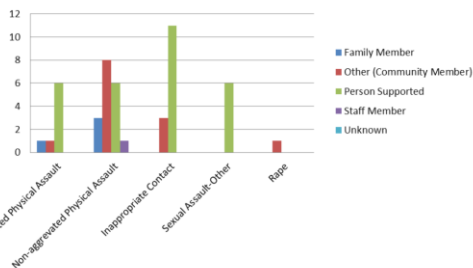**2014 Alleged Victim of Altercation**
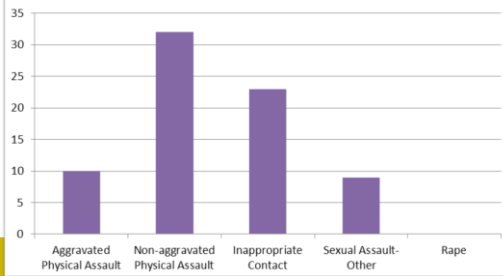
2014 Alleged Victim by Type of Altercation
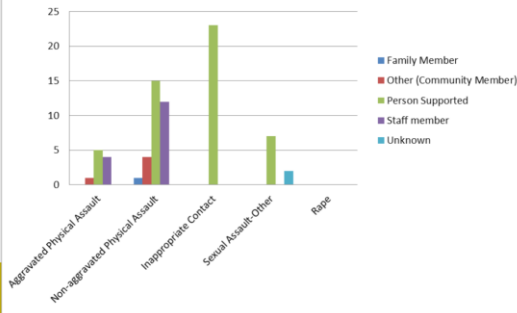
2014 Alleged Perpetrator of Altercation
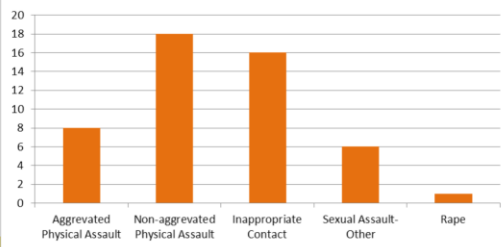
2014 Alleged Perpetrator by Type of Altercation

Altercation vs. ANE

❑ Victim of Altercation

❑ Abuse Neglect Exploitation

Abuse Neglect Exploitation

❑This section MUST be completed.

❑Suspected By should be the person to whom the allegation is against. **NOT** the person who discovered/reported it.

Abuse Neglect Exploitation

NOTIFICATIONS

Police Notified of the Incident? ☐ Yes ☑ No   Police Department

DDD Office
☑ Notified   Name of person you spoke to:
☐ Not Notified   Ashley Schlichenmayer-Okroi

Guardian   Notification   Name of person you spoke to: Date
Other (family, etc.) ⌄   Notified ⌄

DSS Office Notified   Name of person you spoke to: Date:
☐ CPS
☑ ASA   Pam Beck   12/15/2015
☐ N/A

Primary Reporter (Person who observed or discovered incident)
Lisa Jones, DSP
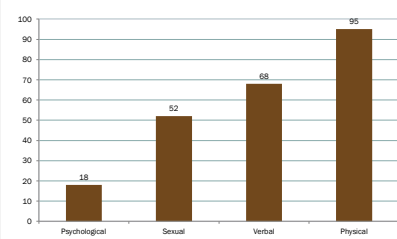
Program Manager or Staff In Charge
Tom Sampson, Support Supervisor

❑ All allegations need to be reported to DSS, Law Enforcement or the State's Attorney within 24 hours regardless of the entities' working hours.
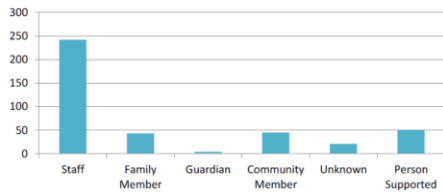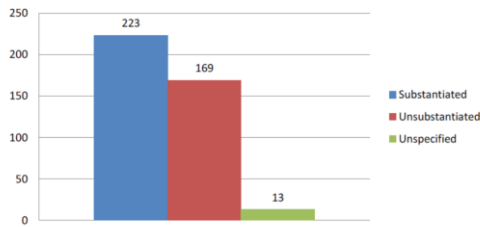

2014 Abuse, Neglect and Exploitation Reporting

- Suspected Exploitation: 73
- Suspected Neglect: 139
- Suspected Abuse: 200

2014

2014 Abuse Type

Type	Value
Psychological	18
Sexual	52
Verbal	68
Physical	95
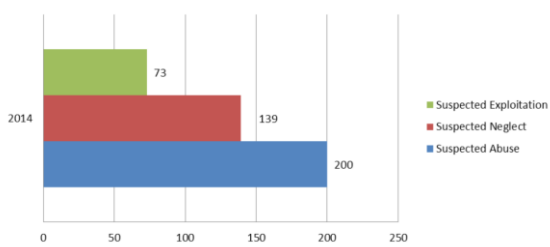
2014 Suspects of Abuse, Neglect and Exploitation

Bar chart with categories: Staff (~243), Family Member (~45), Guardian (~5), Community Member (~45), Unknown (~25), Person Supported (~50)

2014 Abuse, Neglect and Exploitation Substantiation

Bar chart:
- Substantiated: 223
- Unsubstantiated: 169
- Unspecified: 13

Medicaid Fraud Control Unit (MFCU) Reporting

The Division is responsible for reporting to MFCU the following types of incidents when received as Critical Incident Reports:

- ❑ Allegations of ANE against staff
- ❑ Allegations of ANE between people supported as well as altercations between people supported
- ❑ All allegations of exploitation involving social media, texting, or photographs of a participant
- ❑ All unexplained injuries
- ❑ Any injury sustained as a result of physical restraint
- ❑ All Mortality reports where the person's death is not anticipated.

Department of Social Services (DSS)

Q&A

Cassie Lindquist, Program Specialist

South Dakota Dept. of Social Services
Division of Adult Services & Aging

DSS FAQ Q&A

1. Does DSS contact law enforcement when an allegation of Abuse, Neglect, or Exploitation (ANE) is made?
2. Does DSS investigation allegations of ANE?
3. Does DSS work with law enforcement to investigate?
4. When can DSS remove a person from their home?
5. Will DSS contact families or CSPs with results of information?
6. Will DSS staff contact DDD staff to make sure that DDD is aware of an allegation?
7. Does DSS have any concerns with mandatory reporting of incidents?

Other Incidents

OTHER UNUSUAL INCIDENT

Type of Incident	Other
[blank] ▼	

- ❑ Death
- ❑ Jeopardizing Services
- ❑ Increase in Behavior
- ❑ Communicable Disease
- ❑ Medication Error

OTHER UNUSUAL INCIDENT
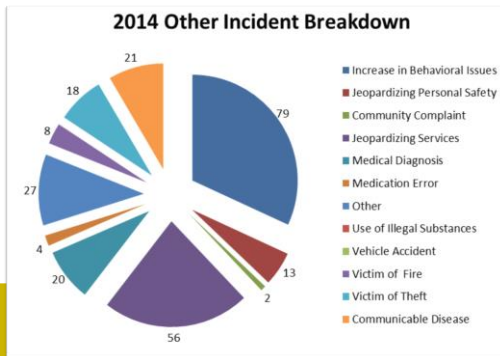
Type of Incident   Other
[blank]
Death
Jeopardizing Services
Victim of Theft
Increase in behavioral issues
Medical Diagnosis
Jeopardizing personal safety
Communicable Disease
Victim of fire
Community complaint
Near drowning
Medication error
Other

2014 Other Incident Breakdown

Legend:
- Increase in Behavioral Issues
- Jeopardizing Personal Safety
- Community Complaint
- Jeopardizing Services
- Medical Diagnosis
- Medication Error
- Other
- Use of Illegal Substances
- Vehicle Accident
- Victim of Fire
- Victim of Theft
- Communicable Disease

SMART CIR Data

South Dakota
SMART

SMART Element Overview

ANE Reporting

Causal Factor Summary: H&W

From Review Date: 01/01/2015 To: 12/29/2015

Selected Criteria

Provider:	<All>	Element: ANE Reporting
Review Type:	Initial Program/Medical Targeted Initial Program/Medical Initial Program Initial Medical Ongoing	
	Program/Medical Targeted Ongoing Program/Medical Ongoing Program Ongoing Medical	
Review Class:	CMS Sample	

ANE REPORTING

Causal Factor	Factor Count
No report to parent / guardian	4
Mandatory reporter - no report	3
Not identified	3
No verbal report to DDD	2
Verbal report to DDD not timely	2
No online report to DDD	2
Online report to DDD not timely	1

Cases: 232	N/A: 201	Incorrect: 11	Factors: 17

ANE Response

Causal Factor Summary: H&W

From Review Date: 01/01/2015 To: 12/29/2015

Selected Criteria

Provider:	<All>	Element: ANE Response
Review Type:	Initial Program/Medical Targeted Initial Program/Medical Initial Program Initial Medical Ongoing	
	Program/Medical Targeted Ongoing Program/Medical Ongoing Program Ongoing Medical	
Review Class:	CMS Sample	

ANE RESPONSE

Causal Factor	Factor Count
Findings - documentation inadequate	1
Findings - not distributed	1
Preventative actions not documented	1

Cases: 232	N/A: 208	Incorrect: 3	Factors: 3

Other Critical Events

Causal Factor Summary: H&W

From Review Date: 01/01/2015 To: 12/29/2015

Selected Criteria

Provider:	<All>	Element: Other Critical Events
Review Type:	Initial Program/Medical Targeted Initial Program/Medical Initial Program Initial Medical Ongoing	
	Program/Medical Targeted Ongoing Program/Medical Ongoing Program Ongoing Medical	
Review Class:	CMS Sample	

OTHER CRITICAL EVENTS

Causal Factor	Factor Count
Not identified	4
Online report to DDD not timely	2
No verbal report to DDD	1
Verbal report to DDD not timely	1
No online report to DDD	1

Cases: 232	N/A: 176	Incorrect: 8	Factors: 9

Actions Taken

Follow-up needed
- ☑ Yes   Estimated date agency will send follow-up to DDD: 07/23/2016
- ☐ No

ACTION TAKEN

Preventive Measures
- ☐ Training to all involved in incident
- ☐ Training agency wide for s
- ☑ Training for people supported
- ☐ Disciplinary action (staff)
- ☐ No further action needed
- ☑ Other
- ☐ Participant terminated/discharged from services

ADDITIONAL INFORMATION

Provide written description of any special circumstances surrounding the incident or to provide clarification of information contained above.

On Saturday July 7th Tina was shopping at Wal-Mart with her mother. They completed their purchases around 1:00pm, Tina reported. After her mom drove away Tina said that as she was entering her car that she was approached by a man asking her to help him load groceries into his car. She left her car doors unlocked and helped the man. When she went back to her car it was no longer in the parking space she left it. Tina went into Wal-Mart and the security officers assisted her in calling the police and the on-call supervisor

- ❑ Ensure that the most appropriate category/categories is/are being selected in the Actions Taken section.
- ❑ Utilize Other for Actions Taken only when no other category is closely aligned.
- ❑ Additional Information should include all pertinent information, information on follow up that was completed, and include persons involved.

DDD Fields

DDD USE ONLY

Referred to division nurse for review? ☐ Yes ☑ No

Medicaid Fraud? ☐ Yes ☑ No   Contact Date: _____

A/N/E Substantiated? ☐ Yes ☐ No

Report Received in required time frames? ☑ Yes ☐ No

Reported to Appropriate Party? ☑ Yes ☐ No

Follow-up requested? ☐ Yes ☑ No
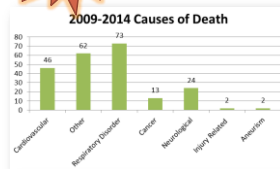
Date agency notified to send follow-up: _____

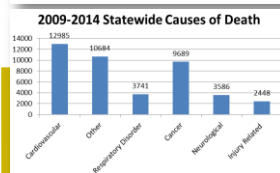# CIR Annual Report

Critical Incident Reporting Trend Analysis: 2014

DHS
DEPARTMENT OF HUMAN SERVICES
Division of Developmental Disabilities

http://dhs.sd.gov/dd/Division/publications.aspx

New CIR Annual Report

2009-2014 Causes of Death

2009-2014 Percentages of Causes of Death		
	CSP %	Statewide %
Cardiovascular	20.4%	30.1%
Other	27.4%	24.8%
Respiratory Disorder	32.3%	8.7%
Cancer	5.8%	22.5%
Neurological	10.6%	8.3%
Injury Related	0.9%	5.7%
Aneurism	0.9%	

2009-2014 Statewide Causes of Death

Annual Report Utilization Survey

❑ There will be a brief survey sent to provider organizations inquiring about the utilization of the South Dakota CIR Annual Report.

Questions…

2016 Webinar Series

The list of topics and presenters is still being developed. Topics are projected to include:

- Eligibility/Level of Care
- HCBS Settings Rule Transition Plan and Due Process
- SDDC Transitions and Consult Requests
- ICAP
- Using Data (SMART, NCI, CQL, POM, ICAP)
- Sharing Relationship Resources
- Working with People with Personality Disorders
- Supported Decision Making
- Money Follows the Person
- Medicaid Fraud
- Follow Up to Employment/VR Changes

Reminder: Webinars will likely continue to take place the second Tuesday of each month from 2p-4p CST.

Please note that the webinar series dates, times, and topics are subject to change.

Please email Ashley with any suggestions for Webinar topics.

Contact Information

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Twitter	**https://twitter.com/SDHumanServices**